

U.S. Department of Energy

Washington, D.C.

ORDER

DOE 5631.1C

5-4-94

SUBJECT: SAFEGUARDS AND SECURITY AWARENESS PROGRAM

1. PURPOSE. To establish policies, responsibilities, and requirements for the implementation of a Safeguards and Security Awareness Program for the Department of Energy.
2. CANCELLATION. DOE 5631.1B, SECURITY EDUCATION BRIEFING AND AWARENESS PROGRAM, of 12-31-91.
3. APPLICABILITY/EXCLUSIONS/DEVIATIONS.
 - a. General. This Order applies to Departmental Elements responsible for the protection of classified matter and the safeguarding of special nuclear materials.
 - b. Application to Contracts. The provisions of this Order are to be applied to covered contractors and they will apply to the extent implemented under a contract or other agreement. A covered contractor (e.g. management and operating contractor, service support contractor, onsite contractor) is a seller of supplies or services that has been awarded a procurement contract or subcontract involving protection of classified matter or safeguarding of special nuclear materials.
 - c. Exclusions. Departmental facilities and activities subject to regulation by the Nuclear Regulatory Commission are exempt from the requirements of this Order.
 - d. Deviations. Deviations from requirements shall be processed according to DOE 5630.11A, SAFEGUARDS AND SECURITY PROGRAM.
4. REFERENCES. See Attachment 1.
5. POLICY.
 - a. The formulation and maintenance of a structured safeguards and security awareness program is required for all Departmental elements and contractors.
 - b. As a condition of access to DOE security areas or classified information, all DOE and DOE contractor employees shall attend briefings as required by this Order. Failure of an individual to attend specified briefing(s) shall be grounds for denial of access to classified information and security areas.

DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Safeguards
and Security

- c. Safeguards and security awareness programs shall include, but are not limited to the following: initial, comprehensive, refresher, and termination briefings.

6. RESPONSIBILITIES AND AUTHORITIES.

- a. Director of Security Affairs. Approves the policy and requirements for regulating the Safeguards and Security Awareness Program.
- b. Director of Declassification. Provides safeguards and security awareness materials to Headquarters and Field element Security Awareness Coordinators on classification requirements.
- c. Director Safeguards and Security shall:
 - (1) Develop policies, objectives, standards and guidelines for the Safeguards and Security Awareness Program.
 - (2) Maintain oversight of the implementation of the Safeguards and Security Awareness Program throughout DOE (including contractors).
 - (3) Provide safeguards and security awareness materials to Headquarters and field Security Education Coordinators, as appropriate.
 - (4) Plan and present safeguards and security awareness workshops for Safeguards and Security Awareness Coordinators and other employees having safeguards and security awareness responsibilities.
 - (5) Coordinate with the Director of Declassification to assure that classification requirements are appropriately covered in safeguards and security awareness briefings.
 - (6) Appoint a security representative to serve as a DOE-wide Safeguards and Security Awareness Program manager.
 - (7) Appoint a Headquarters Safeguards and Security Awareness Coordinator who will coordinate and provide oversight of the headquarters safeguards and security awareness program. The Coordinator will provide safeguards and security awareness to DOE and DOE contractor employees located at Headquarters, in coordination with safeguards and security awareness points of contact.
- d. Heads of Headquarters Elements shall:
 - (1) Ensure that office management and supervisory personnel support the safeguards and security awareness point of contact identified in Paragraph 6d(3) below.
 - (2) Ensure, as appropriate, through security surveys and oversight activities that Departmental elements and contractors establish and maintain safeguards and security awareness programs in compliance with this Order.

- (3) Appoint a safeguards and security awareness point of contact who will coordinate with the Director of Safeguards and Security to assist in identifying and scheduling participants in the safeguards and security awareness program and who will serve as liaison with the Headquarters Safeguards and Security Awareness Coordinator.
- e. Heads of Field Elements shall:
- (1) Ensure that support and resources are available as necessary to implement the provisions of this Order.
 - (2) Appoint a Safeguards and Security Awareness Coordinator who will be responsible for the implementation of the provisions of this Order.
- f. Heads of Departmental Elements shall, in addition to the requirements provided in Paragraphs 6d and e, designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement falling within the scope of this Order. Unless another Individual is designated, the responsibility is assigned to the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33, "Procurement Request Authorization).
- g. Procurement request originators (the individuals responsible for initiating a requirement on DOE F 4200.33) or such other individual(s) as designated by the cognizant Head of Headquarters or Field Element, shall bring to the attention of the cognizant contracting officer the following: (1) each procurement requiring the application of the Directive, (2) requirements for flowdown of provisions of this Directive to any subcontract or sub-award, and (3) identification of the paragraphs or other portions of this Directive with which the awardee, or, if different, a sub-awardee, is to comply.
- h. Contracting officers, based on advice received from the procurement request originator or other designated individuals, shall apply applicable provisions of this Order to awards falling within its scope. For awards, other than management and operating contracts, this shall be by incorporation or reference using explicit language in a contractual action, usually bilateral.
- i. Director, Naval Nuclear Propulsion Program shall, in accordance with the responsibilities and authorities assigned by Executive Order 12344 (statutorily prescribed by 42 USC 7158, note) and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, implement and oversee all policy and practices pertaining to the safeguards and security awareness program for facilities and activities under the Director's cognizance.

7. SAFEGUARDS AND SECURITY AWARENESS COORDINATOR.

- a. A Safeguards and Security Awareness Coordinator shall possess necessary knowledge and skills, such as:
- (1) Knowledge of applicable DOE safeguards and security orders, rules, and regulations;
 - (2) Knowledge of applicable site(s) security orders, rules, procedures, and regulations;
 - (3) Knowledge of the demographics of the audience;
 - (4) Knowledge of the site(s) layout;
 - (5) Writing and editing skills;
 - (6) Presentation and speaking skills;
 - (7) Audiovisual preparation skills;
 - (8) Knowledge of recent espionage cases;
 - (9) Knowledge of approaches and recruitment techniques employed by hostile intelligence services;
 - (10) Knowledge of security-related incidents and concerns; and
 - (11) Knowledge of security threats and vulnerabilities.
- b. Requisite knowledge and skills may be derived from an individual's past or current job experience, whether from DOE or DOE contractor organizations, other Federal agencies, or commercial sources.

8. INITIAL SECURITY BRIEFING.

- a. Purpose. Initial safeguards and security awareness briefings shall be developed and conducted to inform cleared and uncleared individuals who will have access to security areas, of local security procedures and access control requirements.
- b. Scheduling. Each individual shall receive the initial security briefing prior to assuming duties. Initial and comprehensive briefings may, at the discretion of the facility, be conducted simultaneously. Under such circumstances, the subject requirements shall be included as prescribed by both initial and comprehensive criteria.

- c. Subjects. Initial briefing subjects shall include, but are not limited to:
 - (1) General overview of program and function activities relative to the particular facility;
 - (2) General overview of DOE security programs, to include personnel security, information security, and physical security;
 - (3) Local access control procedures;
 - (4) Local escort requirements;
 - (5) Theft or misuse of Government property;
 - (6) Restrictions on the introduction of prohibited articles to DOE facilities;
 - (7) Substance abuse policies; and
 - (8) Hostile intelligence threat, foreign contacts, and travel to sensitive countries.
- d. Target Population. An initial security briefing is required for all individuals with access to security areas or security interests.

9. COMPREHENSIVE BRIEFING.

- a. Purpose. The comprehensive briefing is designed to inform individuals who are granted a DOE security clearance (access authorization) of their security responsibilities.
- b. Scheduling. Prior to being granted access to classified information or special nuclear materials, an individual shall receive a comprehensive briefing. Comprehensive briefings shall be scheduled with a frequency that ensures minimum delay in the granting of access. Additionally, all individuals possessing a security clearance who are permanently transferred to another DOE facility, shall also receive a comprehensive briefing at the new facility.
- c. Subjects. Comprehensive briefing subjects shall include, but are not limited to:
 - (1) Authority for DOE classified information programs;
 - (2) Definitions of the categories of classified information;
 - (3) Definitions of the levels of sensitivity of classified information;

- (4) General facts concerning classifying and declassifying information;
- (5) Information on badge systems and clearance levels;
- (6) Escorting procedures;
- (7) Control, storage, marking, reproduction, transmittal and destruction of classified matter, including telecommunications and facsimile (FAX) transmissions; and
- (8) Notification to the appropriate security officials of any of the following:
 - (a) Illegal or unauthorized access being sought to classified or sensitive information, technology, or special nuclear materials; or the individual's belief that he or she may be the target of attempted exploitation.
 - (b) Any unofficial contact with organizations or individuals from sensitive countries.
 - (c) Actual or imminent security incidents, such as the compromise of classified information, acts of sabotage or terrorism, or approaches or contacts by hostile intelligence organizations.
 - (d) Marriage or name change subsequent to being granted an access authorization.
 - (e) Arrests, charges (including dismissals) or detention by Federal, State, or other law enforcement authorities, for any Federal law, State law, county or municipal law, regulation or ordinance (including traffic violations for which a fine of more than \$250 was imposed).
- (9) Legal and administrative sanctions imposed for infractions and violations of security regulations and criteria.
- (10) Intelligence services targeting and recruitment methods.
- (11) Security systems requirements.
- (12) General facts about the protection of special nuclear materials (SNM).

d. Target Population. All individuals shall be provided a comprehensive briefing upon receipt of a security clearance and prior to access to classified information or special nuclear material.

- e. Documentation. As a condition of access, all individuals possessing a security clearance, shall complete Standard Form 312 (SF-312),, 'Classified Information Nondisclosure Agreement". The completed SF-312 satisfies documentation requirements contained on page 6 in paragraph 12. Failure of an individual to execute the SF 312 shall be grounds for denial of access to classified matter.

10. REFRESHER BRIEFINGS.

- a. Purpose. The refresher security briefing is intended to reinforce information on security policy and information relating to security responsibilities for individuals who possess DOE access authorizations.
- b. Scheduling. Refresher briefings are mandatory for all individuals possessing-active DOE access authorizations.
 - (1) Annual refresher briefings shall normally be conducted each calendar year at approximately 12-month intervals.
 - (2) Responsible security offices shall coordinate attendance at refresher briefings with security or administrative representatives of organizational elements within the scope of their security authority.
- c. Subjects. Refresher briefing subjects may be similar but not limited to those listed for the comprehensive briefing and may include the following examples:
 - (1) The insider threat;
 - (2) The hostile intelligence threat;
 - (3) Need-to-know;
 - (4) Document control procedures;
 - (5) DOE policy on substance or illegal drug use;
 - (6) Contact with persons or organizations from sensitive countries;
 - (7) Travel to sensitive countries; and
 - (8) Trustworthiness, honesty, and emotional or mental illness.
- d. Target Population. All individuals possessing DOE access authorizations shall be provided annual refresher briefings.

11. TERMINATION BRIEFINGS.

- a. Purpose. The termination briefing is designed to remind individuals of their continuing security responsibilities when their access authorizations are terminated.
- b. Scheduling. Termination briefings shall be given either on the last day of employment, the last day the person possesses a security clearance, or when the person no longer requires access to classified matter, whichever is sooner.
- c. Subjects. Individuals whose clearance is being terminated shall be informed of:
 - (1) The items contained in the termination statement on the ongoing need to protect sensitive and classified information,
 - (2) The subjects as contained in the nondisclosure agreement (SF-312).
 - (3) The penalties for unauthorized disclosure of classified matter.
- d. Target Population. Any individual whose security clearance is being terminated.
- e. Documentation. The completion of DOE F 5631.29, 'Security Termination Statement,' satisfies the documentation requirements contained in paragraph 12 below.

12. RECORDKEEPING AND DOCUMENTATION.

- a. Security briefing attendance records shall be maintained for all cleared individuals. Recordkeeping systems shall be capable of providing an audit trail which clearly verifies the individual's attendance.
- b. In recurring requirements, such as refresher briefings, records shall be maintained until the next occurrence of the briefing.

13. ASSISTANCE. Questions pertaining to this Order should be directed to Lynn Gebrowsky, Personnel Security Policy, Procedures/Analysis Branch, 301-903-3200.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM
Assistant Secretary for
Human Resources and Administration

REFERENCES

1. Atomic Energy Act of 1954, as amended, Section 161, 'General Provisions,' which establishes policy for the protection and use of special nuclear materials and the protection of Restricted Data.
2. Title 10 CFR 710, Criteria and Procedures for Determining Eligibility for Access to Classified Matter or Significant Quantities of Special Nuclear Material, which is used in those cases in which there are questions of eligibility for DOE access.
3. Title 10 CFR 725, Permits for Access to Restricted Data, which establishes procedures and standards for the issuance of such permits.
4. Executive Order 12356, "National Security Information," of 8-1-82, which establishes the responsibility of Federal agencies to implement security education programs.
5. Information Security Oversight Office Directive Number 1, National Security Information, of 8-1-82, which implements Executive Order 12356.
6. Presidential Decision Directive/NSC-12, 'Security Awareness and Reporting of Foreign Contacts,' of 8-5-93, which establishes the responsibility for maintaining a formalized security awareness program and to assure the reporting of hostile contacts.
7. National Security Decision Directive 84, "Safeguarding National Security Information," of 3-11-83, which establishes the responsibility for each agency of the executive branch to ensure that all persons are required to sign a classified information nondisclosure agreement as a condition of access to classified matter.
8. DOE 1240.2B, UNCLASSIFIED VISITS AND ASSIGNMENTS BY FOREIGN NATIONALS, of 8-21-92, which establishes DOE authorities, responsibilities, and policies and prescribes administrative procedures for visits and assignments by foreign nationals to DOE facilities for purposes involving unclassified matter.
9. DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, which prescribes policies, procedures, standards, and guidelines for the orderly disposition of records of the DOE and its contractors.
10. DOE 1500.3, FOREIGN TRAVEL AUTHORIZATION, of 11-10-86, which establishes policy and procedures governing official and unofficial foreign travel.
11. DOE 5630.11A SAFEGUARDS AND SECURITY PROGRAM, of 12-7-92, which establishes the policy and responsibilities for the Department of Energy safeguards and security program.
12. DOE 5630.13A, MASTER SAFEGUARDS AND SECURITY AGREEMENTS, of 6-8-92, which establishes the DOE policy, requirements, responsibilities, and authorities for the development and implementation of Master Safeguards and Security Agreements (MSSAs).

13. DOE 5631.2C, PERSONNEL SECURITY PROGRAM, of 9-15-92, which establishes the policy, responsibilities, and authorities for implementing the DDE personnel security program.
14. DOE 5631.4A, CONTROL OF CLASSIFIED VISITS, of 7-8-92, which prescribes DDE standards and procedures for controlling visitors to DDE, DOE contractor, subcontractor, and access permittee facilities.
15. DOE 5639.3, VIOLATION OF LAWS, LOSSES, AND INCIDENTS OF SECURITY CONCERN, of 9-X5-92, which sets forth DOE procedures to assure timely and effective action relating to violations of criminal laws, losses, and incidents of security concern to DOE.
16. DOE 5632.5, PHYSICAL PROTECTION OF CLASSIFIED MATTER, of 2-3-88, which establishes policy and objectives for the physical protection of classified matter and establishes baseline physical protection requirements and standards.
17. DOE 5632.6, PHYSICAL PROTECTION OF DOE PROPERTY AND UNCLASSIFIED FACILITIES, of 2-9-88, which establishes policy and procedures for the physical protection of DOE property and unclassified facilities and establishes baseline physical protection requirements and standards.
18. DOE 5632.9A ISSUANCE, CONTROL AND USE OF BADGES, PASSES, AND CREDENTIALS, of 9-23-92, which establishes and prescribes DOE policies and procedures for the issuance, control, and use of badges, passes, and credentials.
19. DOE 5633.3A, CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS, of 2-12-93, which prescribes minimum requirements and procedures for control and accountability of nuclear materials.
20. DOE 5634.1B, FACILITY APPROVALS, SECURITY SURVEYS, AND NUCLEAR MATERIALS SURVEYS, of 9-15-92 which establishes requirements for granting facility approvals prior to permitting safeguards and security interests on the premises and the conduct of on-site security and/or nuclear material surveys of facilities with safeguards and security interests.
21. DOE 5635.1A, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 2-12-88, which provides uniform standards and operating procedures for safeguarding and controlling classified documents and information, to ensure that classified documents are furnished only to authorized persons, and to prevent loss or compromise of classified information.
22. DOE 5650.2B, IDENTIFICATION OF CLASSIFIED INFORMATION, of 12-31-91, which specifies responsibilities, authorities, policy, and procedures for the management of the DOE classification system.
23. DOE 5670.3, COUNTERINTELLIGENCE PROGRAM, of 9-4-92, which establishes requirements for the Counterintelligence Program, to include a foreign contacts and travel briefing/debriefing program.